

2185

PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)		Application No.	09/822,986
		Filing Date	March 30, 2001
		First Named Inventor	Carl M. Ellison
		Group Art Unit	2185
		Examiner Name	Unassigned
Total Number of Pages in This Submission	40	Attorney Docket Number	42390P8096

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ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">Cross-Reference Under 37 CFR §1.78(a)(2) to Related Applications; 30 Cited References</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	June 14, 2002

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: June 14, 2002			
Typed or printed name	Corrinn R. Reynolds		
Signature		Date	June 14, 2002

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application Number 09/822,986
Filing Date March 30, 2001
First Named Inventor Carl M. Ellison
Examiner Name Unassigned
Group/Art Unit 2185
Attorney Docket No. 42390P8096

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METHOD OF PAYMENT (check one)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit Account

Deposit Account Number

02-2666

Deposit Account Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of the application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$)

2. EXTRA CLAIM FEES

Total Claims = x =
Independent Claims = x =
Multiple Dependent = x =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple Dependent claim, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2)

(\$)

**or number previously paid, if greater. For Reissues, see below

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY

Name (Print/Type)

William W. Schaal

Registration No.
(Attorney/Agent)

39,018

Telephone

(714) 557-3800

Signature

Date

06/14/02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

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#7

Docket No.: 042390.P8096

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Ellison, et al.

Application No.: 09/822,986

Filed: March 30, 2001

For: Checking File Integrity Using
Signature Generated in Isolated
Execution

Examiner: Unassigned

Art Group: 2185

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Assistant Commissioner for Patents
Washington, D.C. 20231

CROSS-REFERENCE UNDER 37 C.F.R. §1.78(a)(2) TO RELATED APPLICATIONS

Sir/Madam:

Pursuant to 37 C.F.R. §1.78(a)(2), applicants hereby cross-reference the following related patent applications, which are all assigned to the same assignee as the present patent application.

(1) A U.S. Patent Application entitled Controlling Accesses to Isolated Memory Using a Memory Controller for Isolated Execution by Carl M. Ellison, et al., Application No. 09/540,608, filed March 31, 2000.

(2) A U.S. Patent Application entitled Platform and Method For Issuing and Certifying a Hardware-Protected Attestation Key by Carl M. Ellison, et al., Application No. 09/538,951, filed March 31, 2000.

- (3) A U.S. Patent Application entitled Managing a Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode by Carl M. Ellison, et al., Application No. 09/539,344, filed March 31, 2000.
- (4) A U.S. Patent Application entitled Platform And Method For Remote Attestation Of A Platform by Howard C. Herbert, et al., Application No. 09/541,108, filed March 31, 2000.
- (5) A U.S. Patent Application entitled Platform and Method for Generating and Utilizing a Protected Audit Log by Carl M. Ellison, et al., Application No. 09/540,612, filed March 31, 2000.
- (6) A U.S. Patent Application entitled Protecting Software Environment in Isolated Execution by Carl M. Ellison, et al., Application No. 09/540,946, filed March 31, 2000.
- (7) A U.S. Patent Application entitled Generating Isolated Bus Cycles for Isolated Execution by Carl M. Ellison, et al., Application No. 09/538,954, filed March 31, 2000.
- (8) A U.S. Patent Application entitled Generating A Key Hierarchy For Use In An Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/539,348, filed March 31, 2000.
- (9) A U.S. Patent Application entitled Isolated Instructions for Isolated Execution by Carl M. Ellison, et al., Application No. 09/541,477, filed March 31, 2000.
- (10) A U.S. Patent Application entitled Managing Accesses in a Processor for Isolated Execution by Carl M. Ellison, et al., Application No. 09/540,611, filed March 31, 2000.
- (11) A U.S. Patent Application entitled Managing a Secure Environment Using a Chipset in Isolated Execution Mode by Carl M. Ellison, et al., Application No. 09/540,613, filed March 31, 2000.
- (12) A U.S. Patent Application entitled Attestation Key Memory Device and Bus by Carl M. Ellison, et al., Application No. 09/541,667, filed March 31, 2000.

(13) A U.S. Patent Application entitled Controlling Access to Multiple Isolated Memories in an Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/618,738, filed July 18, 2000 (based on earlier U.S. Provisional Application No.60/198,226).

(14) A U.S. Patent Application entitled Controlling Access to Multiple Memory Zones in an Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/618,489, filed July 18, 2000 (based on earlier U.S. Provisional Application No. 60/198,225).

(15) A U.S. Patent Application entitled Resetting a Processor in an Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/618,659, filed July 18, 2000 (based on earlier U.S. Provisional Application No.60/198,227).


(16) A U.S. Patent Application entitled File Checking Using Remote Signing Authority Via A Network by Carl M. Ellison, et al., Application No. 09/823,131, filed March 30, 2001.

If there are any charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: December 21, 2000

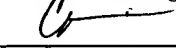


WILLIAM W. SCHAAL
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CERTIFICATE OF MAILING

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Corinn R. Reynolds

12/21/00

Date



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/822,986

Filed: March 30, 2001

For: **Checking File Integrity Using Signature
Generated In Isolated Execution**

Art Group: 2185

Examiner: Unassigned

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: June 14, 2002



William W. Schaal, Reg. No. 39,018

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
(714) 557-3800

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June 14, 2002



Corinn R. Reynolds

06-14-02

Date

Substitute for Form 1449A/PTO (Modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known		
				Application Number		09/822,986
				Filing Date		3/30/01
				First Named Inventor:		Ellison, et. al.
				Group Art Unit		2185
				Examiner Name		Unassigned
Sheet 1 of 2				Attorney Docket Number 042390.P8006		

U.S. PATENT DOCUMENTS						
Exam. Initial*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Code ²	Kind (If known)			
		4,278,837		Best	07/14/81	
		4,521,852		Gutttag	06/04/85	
		5,022,077		Bealkowski et al.	06/04/91	
		5,293,424		Holtey et al.	03/08/94	
		5,421,006		Jablon et al.	05/30/95	
		5,473,692		Davis	12/05/95	
		5,479,509		Ugon	12/26/95	
		5,568,552		Davis	10/22/96	
		5,657,445		Pearce	08/12/97	
		5,729,760		Poisner	03/17/98	
		5,796,845		Serikawa et al.	08/18/98	
		5,805,712		Davis	09/08/98	
		5,835,594		Albrecht et al.	11/10/98	
		5,844,986		Davis	12/01/98	
		5,937,063		Davis	08/10/99	
		5,978,481		Ganesan et al.	11/02/99	
		6,014,745		Ashe	01/11/00	
		6,058,478		Davis	05/02/00	
		6,158,546		Hanson et al.	12/12/00	
		6,175,925 B1		Nardone et al.	01/16/01	
		6,178,509		Nardone et al.	01/23/01	
		6,205,550 B1		Nardone et al.	03/20/01	
		6,282,651		Ashe	08/28/01	
		6,282,657 B1		Kaplan et al.	08/28/01	

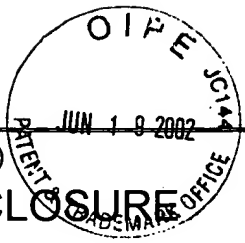
FOREIGN PATENT DOCUMENTS								
Exam. Initial*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (If known)				
			EP0930567A		Texas Instruments, Inc.	7/21/99		
			WO9834365A		AT&T Corporation	8/6/98		

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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Substitute for Form 1449A/PTO (Modified)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	09/822,986
Filing Date	3/30/01
First Named Inventor:	Ellison, et. al.
Group Art Unit	2185
Examiner Name	Unassigned
Attorney Docket Number	042390.P8096

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Sheet 2 042390.P8096 2

OTHER ART - NO PATENT LITERATURE DOCUMENTS

Technology Center 2100

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		"M68040 USER'S MANUAL", 1993, MOTOROLA INC., page 1-5 - page 1-9, page 1-13- page 1-20, page 2-1-page 2-3, page 4-1, page 8-9-page 8-11	
		"INTEL 386 DX MICROPROCESSOR 32-BIT CHMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT", 12/31/95, INTEL INC., page 32-56; figure 4-14	
		JOE HEINRICH:"MIPS R4000 MICROPROCESSOR USER'S MANUAL", 1994, MIPS TECHNOLOGY INC., MOUNTAIN VIEW, CA, pages 67-79	
		BERG C: "HOW DO I CREATE A SIGNED APPLETT?", DR. DOBB'S JOURNAL, M&T PUBL., REDWOOD CITY, CA, US, VOL. 22, NO. 8, 8 '97, page 109-111, 122	
		GONG L ET AL: "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2", PROCEEDINGS OF THE USENIX SYMPOSIUM ON INTERNET TECHNOLOGIES AND SYSTEMS, MONTERY, CA 12 '97, pages 103-112	

Examiner
Signature

Date
Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

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